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ABSTRACT

This study empirically explores patterns of authority delegation by Nebraska state agencies to substate regional organizations and evaluates the effectiveness of those patterns in realizing the goals of decentralization. Information about the field operations and role perceptions of various state agencies was gathered through use of a self-administered questionnaire and through meetings and interviews with top staff members of major state agencies. The study is organized into three chapters. Chapter 1 discusses the changing concepts of federalism and decentralization, and outlines the basic lexicon used in studying decentralization. Chapter 2 discusses the objectives and methodology of the study and reports on the models of authority delegation found in different agencies. Chapter 3 examines the findings, evaluates each decentralization model, and offers some suggestions for the organization of regional activities. (Author/JG)

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PATTERNS OF STATE-REGIONAL COOPERATION

in NEBRASKA

by

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INTRODUCTION

Sub-State regionalism is one of the most recent changes in American federalism. The degree to which the various agencies in the Nebraska State government have delegated authority to the multi-jurisdictional regional organizations may be marked on a continum which extends from centralization to decentralization. Like the traditional view, the notion of decentralization today does not mean the delegation of authority to subordinate organizational units within the formal command structure of the state agency but it involves community control and citizen participation. Decentralization is conceived to be a means to improve the responsiveness and effectiveness of public services and to restore citizen support and confidence in state government and its programs.

The purpose of this study is to explore empirically the patterns of authority delegation by State agencies to sub-state regional organizations and evaluate the effectiveness of these patterns in realizing the goals of decentralization. The study is organized into three chapters. Chapte I discusses the changing concepts of federalism and decentralization. It outlines the basic lexicon used in studying decentralization; its functions, the variegated forms it may assume and the arguments for and against it. Chapter II states the findings of the study in specific terms, i.e. the pattern of authority delegation to the regions by the various agencies of the state. Finally, Chapter III examines the findings, evaluates each pattern of decentralization, and contains some suggestions for the organization of regional activities.

A variety of methods were used to develop the concepts presented in this study. First, information about the field operations of the state agency and the perception of its role was gathered through a self-administered questionnaire (Appendix A). Meetings and personal interviews were held with the heads and top staff members of the major state agencies. The names of the agencies so contacted are listed in Appendix B. Available printed material including plans, budget and statutes were reviewed and analyzed. Finally, frequent informal discussions with the personnel of the State Office of Planning and Programming helped clarify the various aspects of regionalism. Special appreciation is due Mr. Joseph S. Golden for his creative suggestions and cooperation.

Because of the collaborative nature of the assignment, and the generalized perspective required, its findings emphasize principles, objectives, and techniques that are generally applicable without reference to any specific government department or any specific region. A more indepth study of each of the state agency's field operations with regard to the amount and degree of delegation, both administrative and political, could pinpoint the factors leading to a particular patten of decentralization in the regions.

The staff of the State Office of Planning and Programming provided extensive assistance in the preparation of the report. However, ultimate responsibility for the material rests with the consultant.

Chapter I

Federalism and Decentralization: The Changing Concepts

The adoption of a federal form of government by a particular country is rarely a matter of random choice. Federations are created from communities that have previously led separate lives and are inhabited by a people with a sense of identity and a feeling of community. These communities are the "group selves" of which Carl J. Friedrich[1] speaks and their identity is preserved to some extent eventhough their union adds to it a new sense of common identity. Federalism, therefore involves the decentralization of governmental authority to territorially based echelons of government. Looked at from this vantage point, the relationship between state and local governments in the United States is also federal. No doubt, local government is subordinate government and unlike the states in a federation, has no assured sphere of autonomy that the constitution protects, but the long tradition of self-government make them responsible to their electorate and, generally speaking, to no other political authority.

Professor MacMahon[2] contends that, in the United States, a great change in the nature of federalism is taking place now, due particularly to swift and mounting accumulation of administrative relations, both vertical and horizontal. Carl J. Friedrich[3] has

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[1]Friedrich, Carl J., Man and His Government, New York: McGraw Hill, 1963.

[2]MacMahon, Arthur W., Administering Federalism in a Democracy, Oford, 1972.

[3]Friedrich, Carl J., Trends in Federalism in Theory and Practice Praeger, 1968.

pointed out four stages in the evolution of American federalism: "dualism" or "state mercantilism", 1790-1860; centralizing federalism, 1860 - 1933; New Deal's "Cooperative-federalism", and the "creative federalism" of the last few years. Currently there is the "new federalism". Some scholars even think that federalism is indeed dead. Reagan's[4] answer to this position is that approached as shared powers and functions, rather than as divided and separate powers and functions, American federalism is very much alive. The "new federalism" is basically an attempt to decentralize major decision-making activities to the level of government closest to the people affected.

The traditional definition of decentralization is that it involves the division of an organization into autonomous decision units where performance responsibilities and control are vested in subordinate organizational units. Recently, however, the concept has taken an added dimension with its meaning extended to include community control and citizen participation. This linkage is misleading because it is possible to decentralize without providing for any resident input at the service area level.

A major reason for the confusion about decentralization is that at least three disciplines converge upon it: public admininstration, political science, and administrative theory. Although the influence might be diminishing, public administration is still rooted in political science and is the inheritor of the traditions and asumptions of American federalism.[5] On the other hand,

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[4]Reagan, Michael D., The New Federalism, Oxford, 1972

[5]Waldo, Dwight (ed), Public Administration in a Time of Turbulence, (Scranton; Pa: Chandler 1971)

public administrators must practice their profession in the field, often under difficult and unprecedented conditions, and those traditional views have not been altogether helping in solving their pragmatically proximate problems. With increasing demands for and legislation requiring decentralization, public administration has turned to administrative theory, which has had considerable experience with decentralization. In administrative theory decentralization has relatively clear meaning and rather specific organization implications.[6]

In this study, the host organizations are the state agencies in Nebraska and decentralization entails the delegation of authority to sub-state geographic regions outside the formal command structure of the state agency rather than the internal power allocation within the bureaucracy. Administrative decentralization is referred to as "deconcentration" within the bureaucracy involving the delegation of authority to make administrative decisions on behalf of the state administration to public servants working in the field and responsible in varying degrees for government policy within their territories. Decentralization, here refers to transfer of governmental or political authority to officials who are responsible to a sub-jurisdictional electorate or clientale.

The literature supporting decentralization is substantially normative and prescriptive in nature. The arguments supportive of decentralization tend to fall into four broad categories:

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[6]Golembiewski, Robert T., Man, Management and Morality (New York: McGraw Hill, 1965).

administrative, psychological, sociological and political. The first regards the device as a means of improving the delivery of services to relevant client publics. The imperative here comes from dwindling public confidence in the ability of officials and administrators to represent adequately constituency interests in obtaining desired system benefits.[7] Many believe that the most effective way to protect and advance client interests is to decentralize public organizations to allow for more equitable access for affected publics to policy making processes - in other words, to lessen the power differential. It is assumed that this will make public officials more responsive to the citizens.[8] Participation can take place through more effective client interaction with the decisional centers within the organizations.

The psychological claims for decentralization stress the psychic benefits which flow to the clients or consumers from its use. They are based on the belief that the alienation and distance which people feel toward a remote government can be overcome by reducing the scale of the service delivery system. Since, in the ideal, the decentralized units would be smaller and in closer geographic proximity with their clientele, citizen groups would be able to provide direct input to policies affecting them.

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[7]Kaufman, Herbert, "Administrative Decentralization and Political Power", Public Administration Review, vol. XXIX, (Jan/Feb, 1969), pp. 3-14.

[8]White, Orion F. Jr., "The Dialethical Organization: An Aetemetirc to Bureaucracy, Public Administration Review, Vol. XXIX, (Jan/Feb, 1969) pp.32-42.

The sociological justification emphasizes the marked differences among people both in physical and socio-economic characteristics and the incidence and type of social problems peculiar to them.[9]

The final category of arguments, the political relates to the transfer of power to communities. Under the centralized arrangements, the local people generally lack access to and means of intervening in the administrative process. They consequently are unable to make effective demands on the service delivery and reward allocating structures. For some who argue from a political perspective, improvement of service delivery structure is secondary to the broader objective of mobilizing power. They look upon the decentralization of decision-making as a mechanism or strategy for building a viable power base capable of pressuring the larger society for major institutional change.

The opposition to decentralization is directed almost exclusively at the more extreme forms of decentralization. To the administrators, trying to establish uniform standards, participation resulting from decentralization can be an incredible nuisance. However, most Americans are ideologically sympathetic to the concept of decentralization.

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[9]Reiss, Albert J., "Services and Served in Service" in John P. Crecine (ed) Financing the Metropolis, (Beverly Hills: Sage Publications, 1970) pp. 561-576.

Chapter II

Regional Decentralization in Nebraska: An Empirical Typology

Decentralization of authority, responsibility, and resources to achieve greater social justice and domestic peace is part and parcel of the American political tradition. Perhaps the salient theme running through American political history is a recurring tension between centralizing and decentralizing ideas and movements. According to some writers, decentralization today is not only steadily spreading as a mood, decentralization proposals are not only in the air, decentralization is not only inevitable, decentralization is happening now.[1] Even a leading opponent of decentralization concedes that we all are decentralists now.[2] There has been a marked reaction against the New Deal's centralizing legacy. It is widely believed that the desired and desirable changes can only occur through a downward redistribution of power and resources and the downward extension of governmental structures. Only in this way will insecurities and insufficiencies be alleviated, simultaneously humanizing public organization. Decentralization is hardly a panacea for all or even most ills, but its proponents claim that it

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[1]Kaufman, Herbert, "Administrative Decentralization and Political Power," op. cit, p. 8. Schmandt, Henry J., "Decentralization: A structural imperative," mimeographed; Washington, D. C., Center for Governmental Studies, (1970) p. 24.

[2]Kristol, Irving, "Decentralization for What?", The Public Interest, (Spring, 1968), p. 19.

constitutes a feasible, relevant and soundly conceived response for the marked amelioration of some major problems.

Theoretical Perspectives

Decentralization in the modern context represents the convergence of two major strands in American political theory and practice. The first, the historical emphasis on self-government has long provided normative and political justification for the grass roots or local autonomy doctrine. The second, the concept of region, as a basic unit for planning, administration, and service delivery, is of recent origin, but it has contributed importantly to the theoretical base of community participation at the sub-state level. The modern means of transport and communication have overcome the physical limitations of time and distance. The differences in the conditions of life of people in a state have become regional rather than local. Each local government working within the sphere assigned to it takes action that has repercussions in the sphere of others. The limitation on the county and city boundaries, powers and finances inhibit their ability and capacity to adopt an areawide approach to multi-jurisdictional problems. The result has been the emergence of regions as sub-state geographic units for multi-jurisdictional planning, administration, coordination and service delivery purposes.

Regionalism

In recent years, there has been an accelerating pace of institutional change at the multi-county level.[3] All three

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[3]Advisory Commission on Intergovernmental Relations, Regional Decision-Making: New Strategies for Sub-State Districts, Washington, D. C., (Oct. 1973), Vol. I, pp. 319.

levels of government - Federal, state, and local have responded to the increasing demand of a regional approach, by establishing organizations and procedures designed to bring an area-wide focus to certain problems. At the local level, an area-wide approach to problems having multi-jurisdictional impacts necessitates the re-arranging of local government system. Broadly speaking, there are mainly two approaches.[4] The first is the consolidation, or one layer approach involving the territorial realignment of political authority. It has the advantage of simplicity and at least in theory has the greatest possibility of economy and efficiency, but it suffers from the handicap of being extremely difficult to implement from a political standpoint. Unlike a unitary political system which can abolish local governments at will, the Nebraska Statutes[5] requiring voter approval for merger and annexation, tend to work in favor of a federal culture[6] of keeping local governmental structures rather than replacing them.

The two layer approach involves a reallocation of functions in whole or in part from one layer of government to another.

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[4]Advisory Commission on Intergovernmental Relations, Regional Government: Promise and Performance, Washington, D. C. (May, 1973), Vol. II, pp. 2.

[5]Reissue Revised Statutes of Nebraska, 1943, Chapter 16, Article 1.

[6]Elazar, Daniel J., American Federalism, (New York, 1966), pp. 86-96.

In this type of arrangement, an area-wide government is strengthened while all or most existing local governments are retained. Encouraged and inspired by the Interlocal Cooperation Act[7] of 1963, the local governments in Nebraska have formed councils of governments (COGS) to plan and develop areawide approaches to problems confronting them. A council of governments is not a new level of government, rather it is a voluntary association of existing units. The advantage of a council of governments approach to regional planning and development is two-fold: First, it provides a means of coordinating, on a regional basis, plans that are made by individual communities, and the spending of Federal and state funds that are channeled into the community. Second, the greater involvement of elected officials assures that the wishes of individual communities within the region are respected. At the same time, a workable compromise is effected between local autonomy and Federal/State control.

The Federal government has prompted the creation of both single and multi-purpose sub-state regional bodies, for planning, program development, and grant management. The state government in Nebraska delineated 26 planning and development regions along county boundary lines, to be used by all three levels of government as standard geographic bases for planning, and coordination.

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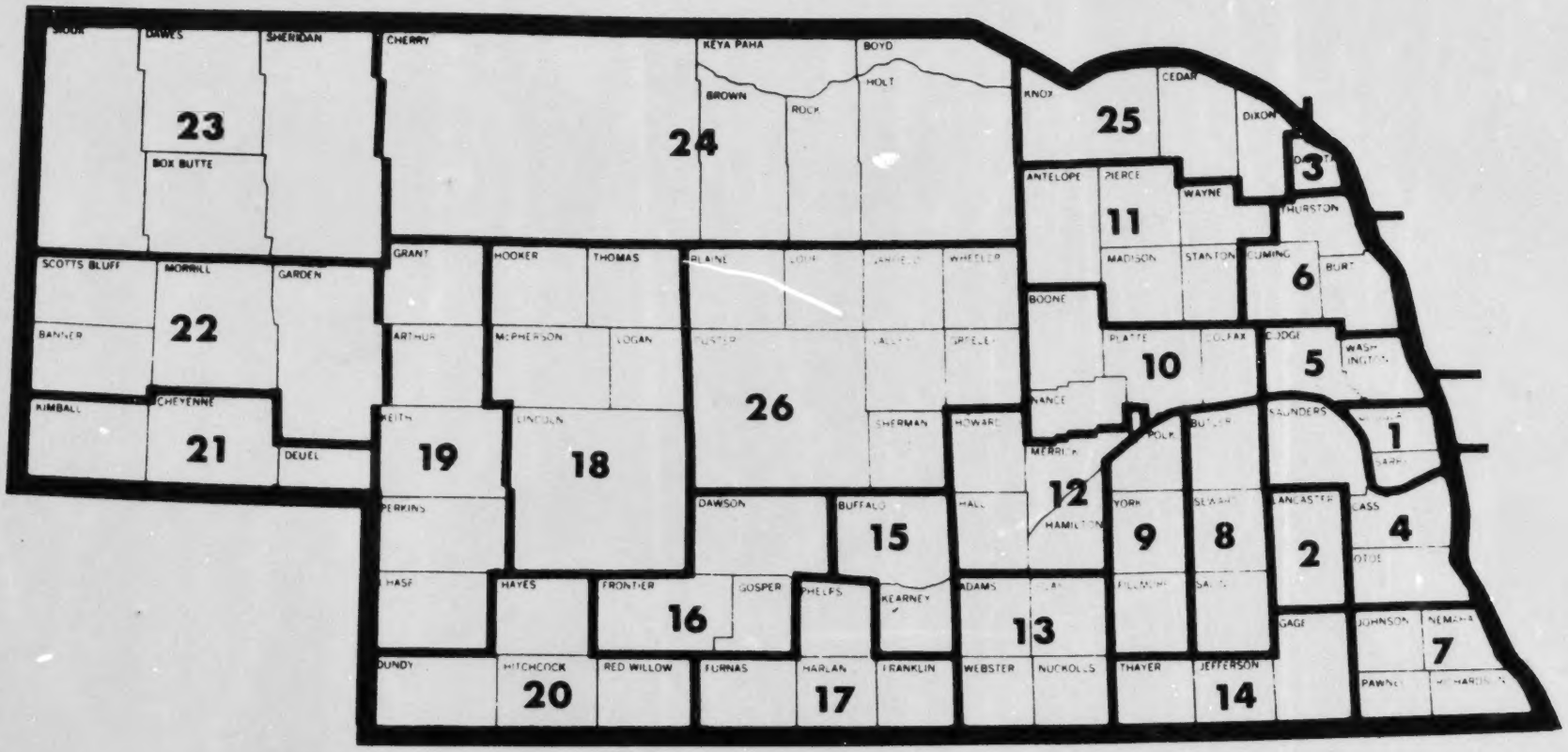
[7]Nebraska, Reissue Revised Statutes of 1943, Section 23-2203.

MAP 1; NEBRASKA PLANNING AND DEVELOPMENT REGIONS



Besides encouraging the formation of COG's and other general purpose regional entities, the state and localities of Nebraska have continued to play a major role in the creation of multi-jurisdictional special purpose districts and public authorities. The existence of many overlapping and often conflicting agencies raised the problem that they often were unresponsive to residents of the area they served, were ineffective and were not related to their local governments. The result was a varying degree of decentralization in the handling of Federal/State programs at the local level with a view to improve services and governmental responsiveness, and reduce the level of citizen's political alienation toward governmental organizations.

Objective of the Study

The purpose of this study is:

1. To build an empirical typology of the regional operations of the various state agencies in Nebraska with special attention to the type (i.e. political or administrative) of delegation of authority and degree of personnel and fiscal control at the state level.

2. To examine the potential relationship between several types of decentralization to citizen's subjective feeling of alienation, participation and control in the regional decision-making.

Method of Study

As a response to the twin demands of decentralization and participation at the regional level, significant changes have occured in Nebraska during the last five years. Several state

agencies have organized their activities on a multi-county regional basis. Since regionalism is still an evolutionary phenomena, the present study is a progress report of the field operations of state agencies rather than a finished document. It seeks to develop descriptive analytical models whose main purpose is to demonstrate (reveal) how the system is working for purposes of developing policy guidelines to ensure responsiveness, efficiency and accountability of regional entities to local elected officials.

The information for this study was gathered mainly through a survey questionnaire sent out to 63 departments, agencies, boards and commissions. A total of 37 agencies responded to the survey questionaire.* Out of 37 agencies, 6 indicated that they do not utilize any kind of regions for carrying out their functions. Information about Technical Community Colleges and Educational Service Units was obtained from the State Statutes. Thus this study is concerned with the field operations of 33 state agencies for a total of 48 programs that fall under these agencies.

Table 1 lists in functional groups the state agencies and programs that participated in the survey, their budget entity numbers, number of regions, basis of regions and the functional use of these regions.

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* The Department of Agriculture utilizes sub-state regions for carrying out its functions. The department, however, chose not to participate in the survey.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participating Units E. Technical Assistance F. Advisory G. Supervision
		GENERAL GOVERNMENT			
05	396	Supreme Court County Court System	21	B.	C.
06	393	District Courts Statewide Probation System	10	B.	C.
16	102	Department of Revenue Revenue Tax Administration	16	C.	B., C.
72	611 - 01	Department of Economic Development Field Service	6	C.	D.
		EDUCATION			
13	351	Department of Education Vocational Rehabilitation	6	C.	A.,B.,C.,E.,E.,F.,G.
34	302-20,30,40,50,60,70.	Nebraska Public Library Commission Library Development Networks	6	C.	A.,B.,C.,D.,E.,F.,G.
	302 - 10	Library Development Statewide Services	20	C.	A.,B.,C.,D.,E.,F.,G.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participatin Units E. Technical Assistance F. Advisory G. Supervision
47	533 - 01	Nebraska Education Television Comm. Educational Television	9	C.	B., C., E.
49	50	Board of Trustees of State Colleges State Colleges	4	B.	C.,D.,E.,F.,G.
69	326	Nebraska Arts Council Promotion	6	C.	A.
83	534	Board of Technical Communicy Colleges Colleges	7	B.	A.,B.,C.,D.,E.,F.,G.
R.R.S. 79-2201-13		Educational Service Units	17	B.	A.,B.,C.,D.,E.,F.
		PUBLIC SAFETY			
19	65 - 67	Department of Banking Enforcement of Standards	6	C.	B., G.
21	193	State Fire Marshal Protection of People & Property	11regular 3pipeline	C.	C.,D.,F.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participating Units E. Technical Assistance F. Advisory G. Supervision
23	194	Department of Labor Division of Safety-Protection of People & Property	2	C.	C.
31	545	Military Department Civil Defense	26	C.	A., C., E.,
64	189 - 90	Nebraska State Patrol Command, Support Criminal Investigation	8	C.	A.,B.,C.,D.,E.,F.,
78		Commission on Law Enforcement and Criminal Justice			
	196 - 11	Action	2	C.	A., D., E.
	196 - 12	Planning	19	C.	A.
79	198	Nebraska Commission on Drugs Drug Commission	6	C	A., C., F.
20	621 - 20	Department of Health Licenses and Standard	7	C.	C., D.
		HUMAN RESOURCES			
20		Department of Health			
	514 - 028	Environmental Sanitation	4	C.	C.,D.,E.,F.
	514 - 015	Communicable Disease	4	C.	C.
	621 - 019	Emergency Medical Service	6	C.	A., B.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participating Units E. Technical Assistance F. Advisory G. Supervision
	177 - 21	Supporting Services (laboratories)	2	C.	C., D.
	591	Comprehensive Health Planning	7	A., C.	A.
23		Department of Labor			
	031 - 014	Division of Employment - Employment Service	15	C.	C.
	031 - 013	Unemployment Insurance	7	C.	C.
26		Department of Public Welfare			
	241, 523, 524	Public Assistance, Crippled Children Services - Nebraska Centers for Children and Youth	6	C.	A.,B.,C.,D.,E.,F.,G.
67		Equal Opportunity Commission			
	059 - 02	Enforcement of Standards - Education	2	C.	B., C., E.
	059 - 03	Enforcement of Standards - Compliance	21	B.	B., C., E.
25		Department of Public Institutions			
	033 - 87	Alcoholism	6	C.	A., E., F., G.
	033 - 86	Community Mental Health	6	B.	A.,B.,C.,D.,F.
	424	Mental Retardation	6	B.	A.,B.,C.,D.,F.
	355	Blind Rehabilitation	8	C.	C.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participating Units E. Technical Assistance F. Advisory G. Supervision
70	547	Technical Assistance Agency Economic Opportunity Act	10	A.	A., B., D., F.
71	570	Nebraska Commission on Aging Advisory Commission on Aging	15	A.	A., B., C., D.
72	584	Department of Economic Development Nebraska Indian Commission	2	A., B.	A.,B.,C.,D.,E.,F.,
46		Department of Correctional Services			
	356	Parole Administration	10	C.	C., F.
	372 - 375	Post Care	2	A., B.	A.,B.,C.,D.,E.,F.,G.
		TRANSPORTATION			
24		Department of Motor Vehicles			
	071	Enforcement of Standards (Drivers)	24	C.	C.
	070	Enforcement of Standards - Vehicles	9	C.	D., E., F., G.
27		Department of Roads			
	571	Highway Maintenance System	7	C.	B., E., G.

Agency Number	Program Number	Agency/Program Name	Number of Regions	Basis of Regions	Functional Use of Regions
				A. Federal Legislation B. State Legislation C. Administrative Action	A. Planning B. Administration C. Service to People D. Service to Participatin Units E. Technical Assistance F. Advisory G. Supervision
		NATURAL RESOURCES			
29	072	Department of Water Resources Enforcement of Standards	12	B.	B., C.
33	325, 336, 549	Game and Parks Commission Boat, Parks Administration	5	C.	C., F.
55	334	Natural Resources Commission Natural Resources Districts	26	B.	A.,B.,C.,D.,E.,F.,G.
57	335	Oil and Gas Conservation Commission Oil and Gas Conservation	2	C.	B., E., G.
84	513	Department of Environmental Control Environmental Control	4	A.	A.,B.,C.,D.,E.,F.,G.
51	722	University of Nebraska Agricultural Experiment Station	5	C.	A.,B.,C.,D.,E.
	724	Agricultural Extension Service	5	C.	A.,B.,C.,D.,E.,F.,G.

Typology of Regional Decentralization

Review of survey questionaires has revealed that regional decentralization, if interpreted broadly, has taken four different forms, each of which can exist independently or in combination with the others.

(i) A physical dispersion of services (Bureaucratic Model)

(ii) A shift of decision-making authority to regional bodies (Governmental Model) with state agency as responsible entity.

(iii) A shift of control over local resources to region-based community (Supervisory Model).

(iv) A creation of new multi-jurisdictional entities that replace or ignore the traditional local structures. (Advisory Model)

Each of these models has different implications for organization of social services and for the flow of political influence in the region. In addition, these models can be said to have impact on citizen alienation and participation in slightly different ways. These models are strictly based on the criteria of political decentralization to regional entities and personnel and fiscal control by the state agency. There might be wide variation in the degree of state executive control over the state agencies, depending whether the state agency is an administrative department, independent commission or constitutional agency. Again, each regional entity may assume a variety of forms, depending upon the extensiveness of the organization, its political role, seniority of regional staff and the degree of authority given to them. Decentralization

in this study refers to the delegation of political decision-making authority to territorial based organizations. It involves the participation of local people in decision-making process either directly or through their elected representatives.

The Bureaucratic Model

The bureaucratic model involves the delegation of greater responsibilities, the assignment of additional activities or both to the civil servants operating in the regions. This type of decentralization attempts to bring government closer to citizens by its physical proximity for information services and as a local investigator of citizen grievances. It does not involve significant changes in service delivery. The formal citizen role in this model is usually a minimal one. Whatever authority the district based officials have, is delegated by the state agency. The regional personnel are part and parcel of the state department and operate under specified rules and regulations. The regional budget is generally an integral part of the agency budget and all allocations are made by the state agency depending on the availability of funds for various programs and needs of the regions. The regional organizations are required to keep the state agency informed regularly about their activities, accomplishments and needs through periodic written reports, program approval, budget approval, audit or any other device considered appropriate by the parent agency. The communication between the state and regional organizations is very frequent, almost daily. In such a model, the relationship between the state agency and regional entity in its ideal sense, is that of superior-subordinate.

The delegation of responsibilities constitutes a territorial form of administrative decentralization. If its full potential were realized, the territorial variant would allow for the delivery of services which are best suited for the particular community's characteristics and wishes.

The assignment of new activities to field offices constitutes the functional variant of administrative decentralization. Table 2 summarizes the information gathered of state agencies and programs whose decentralization pattern falls under the bureaucratic model both territorial and functional. The functional variant of administrative decentralization commonly involves the creation of multi-service centers in the regions. Various kinds of public services are no longer dispensed at the agency's state headquarters, rather the various services are concentrated within physically dispersed centers. The functional variant offers the citizens improved services by making them more accessible. Not only is it easier and more convenient to deal with several services at one location close to the citizen's homes, this kind of convenience could lead to the provision of services to additional citizens as access is facilitated. An in so far as the problems of individuals or groups of individuals can be dealt with in one center, with its interelated units, the services could turn out to be more effective in meeting complex problems. In this way the functional variant may also increase the efficiency with which services are delivered. Correspondingly, the

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Table: 2

BUREAUCRATIC MODEL

Agency Number and Name	Program Number and Name	Personnel Control State	Personnel Control Local	Fiscal Control Source of Funding	Fiscal Control Allocation Authority	Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		A. [illegible]	A. [illegible]	A. Federal B. State C. [illegible]	A. [illegible] B. Regional C. [illegible]	A. State B. [illegible]	A. [illegible] [illegible] [illegible] [illegible] [illegible] E. [illegible]	A. [illegible] B. [illegible] C. [illegible] [illegible] D. [illegible] E. [illegible]	A. [illegible] B. [illegible] [illegible] C. Final Arbitrator D. Advisory E. Not Ascertained
GENERAL GOVERNMENT									
01 Supreme Court	490 County Court System	A.	--	[illegible]	A.	[illegible]	A.	[illegible]	E.
01 District Court	493 State-wide Probation System	A.	--	A.13 B. 87	A.	[illegible]	A., [illegible]	[illegible]	A.
16 Department of Revenue	102 Revenue Tax Admin.	A.	--	B. 100	A.	A.	A.	[illegible]	B.
72 Dept. of Economic Dev.	611 - 01 Field Services	A.	--	B. 100	A.	A., B.	A.	A., C.	A., D.
EDUCATION									
13 Dept. of Education	351 Vocational Rehab.	A.	--	A.80 B.20	A.	A., B.	A.	A., B., C., D.	B.
34 Public Library Comm.	302 - 20, 30, 40, 50, 60. 70 Library Dev. Network	A.	--		A.	A.	A.	A., B., C., D.	A.
47 Education Television Commission	535 - 01 Educational Tel.	A.	--	B. 100	A.	A.	A.	C., D.	E.
49 Bd. of Trustees of State Colleges	50 State Colleges	A.	--	A. 12 B. 54 C. 34	C.	A., B.	A., B., C.	B.	B.

Table 2 (Con't.)

BUREAUCRATIC MODEL

Agency Number and Name	Program Number and Name	Personnel Control		Fiscal Control		Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		State	Local	Source of Funding	Allocation Authority				
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appointed C. Private	A. Federal B. State C. Local Percent	A. State B. Regional C. Legislation	A. State B. Regional	A. Daily B. Weekly C. Monthly D. Quarterly E. Annual F. Irregular	A. Written Reports B. Program Approval C. Periodic Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. NA	A. Superior Subordinate B. Regulatory and Supervisory C. Equal Partnership D. Advisory E. Not Ascertained
PUBLIC SAFETY									
17 Department of Banking	65-67 Enforcement of Standard	A.	--	B. 100	A.	A.	--	A.	E.
21 State Fire Marshal	193 Protection of People and Property	A.	--	B. 100	A.	A.	A., B.	E.	B.
27 Department of Labor	194 Division of Safety - Protection of People and Property	A.	--	B. 100	A.	A.	B., C.	A., B., E.	A., B.
64 Nebraska State Patrol	189-90 Command, Supervise Criminal Investigation	A.	--	A.5, B.95	A.	A.	A., B.	A., B., C., D., E., F.	B., D.
78 Commission on Law Enforcement and Criminal Justice	196-11 Action	A.	--	A.	A.	A.	B.	A., E.	D.
20 Department of Health	621-20 Licenses & Standard	A., B., C.	--	A. 44, B. 22 C. 34	A.	A.	B.	A., C., E.	B.

Table: 2 (Con't.)

BUREAUCRATIC MODEL

Agency Number and Name	Program Number and Name	Personnel Control		Fiscal Control		Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		State	Local	Source of Funding	Allocation Authority				
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appointed C. Private	A. Federal B. State C. Local Percent	A. State B. Regional C. Legislation	A. State B. Regional	A. Daily B. Weekly C. Monthly D. Quarterly E. Annual F. Irregular	A. Written Reports B. Program Approval C. Periodic Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. NA	A. Superior Subo B. Regulatory Su C. Equal Partner D. Advisory E. Not Ascertain
HUMAN RESOURCES									
25 Department of Health	514-028 Environmental Sanitation	A., B., C.	—	A. 42, B. 48, C. 10	A.	A.	A., B.	A., B., E.	A.
25 Department of Health	514-015 Communicable Disease	A., B., C.	—	A. 94, B. 6	A.	A.	A.	E.	A., D.
25 Department of Health	877-21 Supporting Services-Laboratories	B.	—	A. 35, B. 65	A.	A.	C.	A., E.	A.
28 Department of Labor	021-14 Division of Employment-Employment Service	A.	—	A..100	A.	A..	A.	A., B., C., D., E., F.	A.. B.
28 Department of Labor	031-13 Unemployment Insur.	B.	—	A. 100	A.	A.	B., C.	E.	A.
67 Equal Opportunity Commission	059-03 Enforcement of Standards-Compliance	A.	—	A. 9, B.91	A.	A.	A.	A., B.	A.
67 Equal Opportunity Commission	059-02 Enforcement of Standards - Education	A.	—	B. 100	A.	A.	C.	A., B.	A.
26 Department of Public Welfare	514,327,324 Public Assistance Child & Family Services for Children & Youth	B., C.	—	A. 99, B.41	A.	A.	A.	A., B., C., D., E., F.	A.
46 Department of Correctional Services	356 Parole Administration	A..	—	A. 30, B. 70	A.	A.	A.	A., B., C., D., E., F.	B.
46 Department of Correctional Services	372-375 Post Care	A., C.	—	A. 50, B. 50	A.	A.	A.	A., B., D., E.	E..
72 Department of Economic Dev.	584 Nebraska Indian Comm.	A.	—	B. 100	A.	A.	A.	A., B., D., E., F.	A.

Table: 2 (Con't)

BUREAUCRATIC MODEL

Agency Number and Name	Program Number and Name	Personnel Control: State	Personnel Control: Local	Fiscal Control: Source of Funding	Fiscal Control: Allocation Authority	Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception: Agency's View
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appoint C. Private	A. Federal B. State C. Local Percent	A. State B. Regional C. Legislation	A. State B. Regional	A. Daily B. Weekly C. Monthly D. Quarterly E. Annual F. Irregular	A. Written Reports B. Program Approval C. Personal Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. NA	A. Superior Subordinate B. Regulatory and Supervisory C. Equal Partnership D. Advisory E. Not Ascertained
TRANSPORTATION									
64 Department of Motor Vehicle	071 Enforcement of Standards (Drivers)	A.	--	--	A.	A.	A.	A., C., E.	C.
62 Department of Motor Vehicle	072 Enforcement of Standards (Vehicles)	A.	--	B. 100	A.	A.	A.	A., B., C., D., E., F.	B.
67 Department of Roads	571 Highway Maintenance System	A.	--	A. 30, B. 70	A.	A., B.	A.	A., B., E.	A.
NATURAL RESOURCES									
69 Dept. of Water Resources	072 Enforcement of Standards	A.	--	B. 100	A.	A.	--	B.	E.
83 Game and Parks Commission	325, 336, 549 Boat, Parks Administration	A., C.	--	A.50, B.50	A.	A.	A.	A., B., C., D., E.,	B.
87 Oil and Gas Conservation	335 Oil and Gas Conservation	A., C.	--	B. 100	A.	A.	A.	E.	E.
91 University of Nebraska	722 Agricultural Experiment Station	A.	--	A.15, B.60, C.25	A.	A., B.	A.	A., B., C., D., E.,	C.
91 University of Nebraska	724 Agricultural Extension Service	A.	--	A.40, B.37, C.23	A.	A., B.	A.	A., B., C., D., E., F.	A.

territorial variant may also make for increased efficiency by dispersing an overloaded headquarters complex. In both variants, the citizen's general influence on the bureaucrats might be enhanced in so far as the latter are brought physically closer to their clients, in contrast to confrontations with distant and impersonal authorities at departmental headquarters.

Again the functional bureaucratic model can either be integrated or unintegrated. Dcentralized administration is functionally organized, that is to say, each division or bureau or broad sphere of departmental activity has its own field services, structurally the extension of the department. Somewhere between the vertical decentralization of specialist services and horizontal decentralization to territorial based organizations, there is a point of overlap where horizontal coordination is imposed on vertical structures. This is the integrated pattern of administrative decentralization as found in the State Welfare Department's social service regional operations. The Director of the Welfare Department delegates responsibility and authority to six regional directors to oversee and insure that all social service programs are administered at the local levels in conformity with the respective state plans for such programs and that statewide work plans are carried out. The regional social service representatives and their service units staff administratively report to their respective regional directors[8]

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[8]Nebraska Department of Public Welfare, Social Service System Handbook, (January 1, 1974).

although they seek consultative and technical assistance, as necessary from respective program specialists based in their state and central office divisions. Such consultation relates only to operational problems, and not to matters that require administrative decisions or interpretations. The Regional Director is being informed of the nature and outcome of necessary consultations between regional and central office personnel through copies of related correspondence or through brief written summaries of related telephonic or verbal discussions. Thus the Regional Director is part of a chian of command between headquarters and the field for all services whether administrative or technical. The Regional Director embodies the authority of the whole Department and is the main channel of communication between technical field officials and the state capitol.

In an unintegrated pattern of bureaucratic functional model, there is no one channel of communication between the field and the agency headquarters. Each specialist functioning in the field maintains independent links with headquarters' offices.

All variants of the bureaucratic model are usually inspired by a concern for citizen convenience, the improvement of service delivery and the development of a sense of community. However, the bureaucratic model gives secondary attention to the citizens themselves. The rationalization of service deliveries is the major premise. Even where the notion of direct citizen contact

is deemed important, the rationale is primarily one of increasing the coordination and cooperation of diverse activities in servicing their clientele at less cost and only incidentally to make an integrated assult upon some rather complex problems.

The Governmental Model

The governmental model provides for some degree of political decentralization. It is characterized by locally based mechanisms of an elected or appointed community council, allowing residents to inform, consult and influence public officials. These officials are expected to come before the elected or appointed councils to solicit their views on region-wide policies and on decisions and services affecting specific areas. Such a model represents the liberal's response to radical demands for community control. The delegation of authority to COG's under this model means that the state government does no longer exploit the local or regional resources, and the regional interests are no longer sacrificed to those of distant state bureaucarcy. Yet centralization is there to cope with many statewide problems, while extensive community control is at best very risky. In the fully developed governmental model, delegation of authority includes power over all bureaucartic appointments and dismissals, over equipment and frequency of service, and responsibility for handling complaints. Although the regional bodies are not accorded the power to tax, the participating governments undertake to provide adequate funds to allow them to carry

Table: 3

GOVERNMENTAL MODEL

Agency Number and Name	Program Number and Name	Personnel Control: State	Personnel Control: Local	Fiscal Control: Source of Funding	Fiscal Control: Allocation Authority	Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appointed C. Private	A. Federal B. State C. Local Percent D. No Allocation	A. State B. Regional C. Legislation D. N.A.	A. State B. Regional	A. Daily B. Weekly C. Monthly D. Quarterly E. Annual F. Irregular	A. Written Reports B. Program Approval C. Periodic Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. N.A.	A. Superior Subordinate B. Regulatory and Supervisory C. Equal Partnership D. Advisory E. Not Ascertained
EDUCATION									
Nebr. Public Library Comm.	302-10 Library Development Statewide Services	--	C.	A. 10, C. 90	A., B.	A., B.	B.	B., C., F.	C., D.
PUBLIC SAFETY									
Military Department	545 Civil Defense	--	A.	A. 50, C. 50	A.	A., B.	D., E.	A.,B.,C.,D.,E.	C., D.
Commission on Law Enforcement and Criminal Justice	196-12 Planning	--	A., C.	A. 100	B.	A.	C.	A.,B.,C.,D.,E.,F.	B.,D.
HUMAN RESOURCES									
Dept. of Public Institutions	033-86 Community Mental Health	--	A., C.	A.,B.,C.	B.	A., B.	C.	A.,B.,C.,D.,E.,F.	B., D.
Dept. of Public Institutions	424 Mental Retardation	--	A., C.	A.54, B.18,C.28	B.	A., B.	C.	A.,B.,C.,D.,E.,F.	B.
Technical Assistance Ag.	547 Economic Opportunity Act	A.	A., C.	A.80, C. 20	A.	B.	D.	A., C., F.	D.
Nebr. Comm. on Aging	570 Advisory Commission on Aging	--	A., C.	A.80, C.20	A.	A., B.	A., B., C.	A.,B.,C.,D.,E.,F.	B., C., D.
NATURAL RESOURCES									
Dept. of Environmental Control	513 Environmental Control	C.	A.	A.60, B.23, C.17	A., B.	A.	A.	A., B., C., D.	A.

out a mutually acceptable list of functions. This model provides for some budgetary discretion over some portion of the funds that the government plans to spend in that region. Each regional organization compiles and justifies a periodic budget for the entire region (but cannot guarantee automatic approval by state authorities). As is evident from Table 3, the regional organizations under this model, enjoy allocation, program formulation and priority setting authorities. Their relationship with the state agency is that of regulatory and supervisory, or equal partnership nature. This type of decentralization pattern places services directly under the watchful eyes of the service consumers and bureaucratic clientele.

Supervisory Model

According to the supervisory model, residents come to exercise considerable control over both elected and appointed officials. Governmental structures are established in the regions with powers similar to those enjoyed by some units of governments. Their powers are delegated to them by state agencies with limited authority to tax. This model has commonly been referred to as community control: the exercise of authority by the democratically organized government of a smaller-sized jurisdiction. As is evident from Table 4, only three state agencies are using this pattern of regional decentralization. Under this model the delegation of authority contains clauses which would act to bring about revocation of the delegation under certain conditions. It is a kind of federalist attempt at political reconciliation of differing and conflicting interests among the various communities, and between particular communities

Table: 4

SUPERVISORY MODEL

...ncy Number and Name	Program Number and Name	Personnel Control: State	Personnel Control: Local	Fiscal Control: Source of Funding	Fiscal Control: Allocation Authority	Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appointed C. Private	A. Federal B. State C. Local Percent D. No Allocation	A. State B. Regional C. Legislation D. N.A.	A. State B. Regional C.	A. Daily B. Weekly C. Montly D. Quarterly E. Annual F. Irregular	A. Written Reports B. Program Approval C. Periodic Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. N.A.	A. Superior-Subordinate B. Regulatory and Supervisory C. Equal Partnership D. Advisory E. Not Ascertained
EDUCATION									
Nebr. Arts Council	326 Promotion	A.	A., B., C.	D.	B.	A., B.	D.	B.	C., D.
Bd. of Technical ...munity Colleges	534 Colleges	--	A.	B. 100	C.	A., B.	C., D.	A., D..	E.
HUMAN RESOURCES									
) Department of Health	591 Comprehensive Health Planning	--	A., C.	A.66, C.34	A.	B.	B., C.	B.	C., D.

and the state government.

The supervisory model is said to have some especially attractive advantages, but according to others, its advantages are largely ephemeral, and are negated by some particularly serious weaknesses. The supporters of this model state that it is simply a means for affecting adequate citizen representation. Their opponents counter by pointing out that such additional mechanisms only duplicate existing ones. To this, community control proponents reply by saying that it is quality and meaningfulness of such representation which is important, not its mere formal availability; decentralization ameliorates the harmful effects of those governments that are well insulated from individual citizens-governments that are so well insulated (and thus misdirected) that they have become an especially bitter joke to the economically disadvantaged. Opponents reply that structural changes are no substitute for greater resources.

Neither set of arguments is conclusive. But when considerations founded upon some empirical evidence are taken into account - it seems that the supervisory model does not enjoy nearly the potential effective areas that its adherents would have thought.

Finally, in evaluating any program, attention must be accorded to its feasibility. The most attractive scheme loses some of its lustre if its acceptance is highly improbable, because it does not provide existing power holders with implementing incentives. For the professionals, who direct

the great bureaucracies and the civil servants who staff them, community control constitutes sharp challenges to their professional standards, political influence, and economic security. The men with interests in existing structures and arrangements - elected officials, civil servants and private interests - are simply not about to let themselves be undercut, and they have enough power to defend themselves even in the face of an increase in popular support for community control. They are not prepared to transfer significant degrees of control over values, resources and power to new structures that will more effectively accomodate the demands of those groups currently challenging the established holders of power.

The Advisory Model

In the advisory model, no decentralization of the state bureaucracy occurs, rather the alternate institutions are developed to achieve similar purpose, i.e. to provide services that have previously not been sufficient; moreover decentralization in a broader sense occurs, with state resources under local control. Table 5 lists the information about such regional organizations. These regional organizations have powers delegated to them by statutes, just as powers are delegated to municipal governments. They perform functions similar to a state agency or department but their authority is not delegated to them by state department but by the statutes. In this way, they are autonomous and the state agency can only advise regional organizations with practically no personnel and budgetary

Table: 5

ADVISORY MODEL

...ency Number and Name	Program Number and Name	Personnel Control: State	Personnel Control: Local	Fiscal Control: Source of Funding	Fiscal Control: Allocation Authority	Priority Setting	Frequency of Communication	Nature of Supervision	Role Perception Agency's View
		A. State Personnel B. Merit System C. Agency Approval	A. Elected B. Appointed C. Private	A. Federal B. State C. Local Percent D. No Allocation	A. State B. Regional C. Legislation D. N.A.	A. State B. Regional	A. Daily A. Weekly C. Montly D. Quarterly E. Annual F. Irregular	A. Written Reports A. Program Approval C. Periodic Investigation D. Budget Approval E. Regular Supervision F. Post Audit G. N.A.	A. Superior Subordinate A. Regulatory and Supervisory C. Equal Partnership D. Advisory E. Not Ascertained
EDUCATION									
R.R.S. 79 Educational Service Units	2201-2213 Special Services	--	A.	C.	B.	B.	E.	F.	D.
HUMAN RESOURCES									
23 Dept. of Health	621-019 Emergency Medical Services	--	A., C.	D.	D.	A., B.	D.	G.	D.
NATURAL RESOURCES									
55 Natural Resource Comm.	334 Natural Resource Dist.	--	A.	A.20, B.5, C.75	B.	B.	E.	A., C.	D.

control. There does not exist any organized and regularized pattern of communication. The state agency cannot hold the regional entities accountable to it. The regional boards are responsible to their electorate and to the state legislature. For the citizen participants, alienation reduction in this type of decentralization may occur either because they have actually gained and exercised new powers over a public service, or because services have improved.

These four types of decentralization appear to be able to reduce citizen alienation, improve service delivery, and provide for participatory opportunity in different ways. The next chapter evaluates these four models in terms of their effectiveness and usefulness for decentralizing the activities of the state agencies at the regional level.

Chapter III

Summary Evaluation and Recommendations

Through the recent history of "The New Frontier", "The Great Society", and "The New Federalism", attitudes toward intergovernmental cooperation seem to have crystallized in a view that Federal and state governments have proper roles in the private sector and in community life. The argument now evolving seems to be, not whether Federal and state governments shall be involved in local affairs, but how intergovernmental cooperation can be accomplished with minimum infringement of local autonomy and private initiative.

Today the claim is made that the decentralization of public bureaucracies not only makes for greater governmental responsiveness (Jeffersonian augument), but that it will enhance the quality of public life in other important ways. Decentralization gives affected residents more power and provides for diverse governmental responses to particular and differing needs. Secondly, the citizen's pervasive and deep disillusionment with state government - his sense of political alienation and governmental disaffection - is to be sharply mitigated by redistributing power and influence downwards, consistently bringing governmental and bureaucratic officials closer to the citizens served. Thirdly, decentralization is to remedy bureaucratic insensitiveness, unresponsiveness, and ineffectiveness in the delivery of services, thereby improving the quality of such services.[1]

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[1]Schmandt, Henry J. "Decentralization: A Structural Imperative", Mimeographed, Washington, D. C., Center for Governmental Studies, 1970, pp. 16-17

Partly in response to the demands of participation and partly through their own initiative, elected officials and public administrators in Nebraska State Government have instituted different patterns[2] of decentralization to achieve the goals of increased governmental responsiveness, the amelioration of citizen's political alienation, and the improvement of services. The patterns of decentralization adopted by the state agencies reflect to a certain degree the various theories of state aid to localities.

Theories of State Aid and Their Relationship to Various Models of Decentralization

To a greater degree than is normally acknowledged the nature of state influence in state aided programs depend upon the theory of the state role implicit in those programs as structured by legislation, held implicitly by those who administer the programs or pervading the state at that time.

Those who espouse uniformity theory (though implicitly) have adopted a bureaucratic model of decentralization. They generally hold that the goal of state-aided programs should be to establish uniform conditions throughout the state. In general they espouse state aid to localities only becuase they recognize the constitutional or political and administrative difficulties in obtaining direct state management of such programs.

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[2]The four patterns of decentralization are bureaucratic, governmental, supervisory and advisory. They are discussed in Chapter II.

Since the carrying out of such programs involves a major share of state or federal funds, mechanisms are instituted to insure that money is expended exclusively for the intended purposes. The state agency responsible for administering such programs keeps its own personnel in the field either for direct delivery of services or for supervising, advising, and guiding the local governmental units responsible for carrying out the programs in their areas. The field personnel are accountable to the state agency and provide regularly all the information desired by the state agency. The field administrator owes a natural allegiance to his administrative superior at the agency headquarters. Such controls are considered desirable to safeguard the treasury. This type of model provides for direct and immediate availability of regional data or information to the state agency for coordination of its several activities and managerial decision making. Those who espouse uniformity theory hold that state funds should be utilized to minimize local discretionary action. They do not look upon the localities as political systems with legitimate goals of their own in those areas of concern. In fact, they view local differences as residual phenomena or reflections of unhealthy deviations from state or federal norms.

Those who espouse local right and state interest theory acknowledge the existence of a substantial measure of legitimate distinctiveness in the regions and localities and affirm their constitutional right to preserve that distinctiveness. At the

same time, they equally recognize the existence of a common state interest in securing the implementation of certain program or the establishment of certain statewide standards. They view state aid as a means to accomplish both ends. The proponents of this view of state aid turn to governmental or supervisory model of decentralization.

Those who espouse it generally favor the shaping of state transfers of payments to reflect a certain broad policy that represents a consensus of regional and local views in significant ways. Under this theory, basic state standards are established for each transfer program, but in such a way that the regions and localities are given considerable leeway for discretionary implementation of the programs either through delegation or by right. Since transfer of payments are based on formulas and local share of finances, the local governments too have their stakes in the program accomplishment. Therefore, the state agency does not require elaborate control mechanisms to insure that the funds are expended as desired. The local governments involved are as concerned as the state agency in the achievement of desired goals.

The third, state government as servant theory holds that state aid is legitimate but only in so far as it is used to further local objectives in the state interest. Under this theory, the state government utilizes its superior revenue raising powers and funnels money back to the localities without dictating the uses to which the aid is to be put beyond setting

certain very broad limits, and at the most requiring an accounting for the honest use of the funds so transmitted. The state aid to Educational Service units and Natural Resource Districts is justified on the basis of this theory. Post-audit of such regional entities is considered necessary to assure proper handling of the transfers from a purely technical standpoint and are not devices to foster the accountability of these regional entities to state agencies. The believers of this theory of state aid resort to the advisory model of decentralization.

Though, such a model rests on the idea that there is a strong convergence of state and local interests in meeting public demands and that the regional entities would use the money in ways consistent with state goals, but the autonomy of regional entities in such a pattern of decentralization inhibits the capacity of the state agency for overall coordination. The state agency has to rely exclusively on the goodwill of the regional organizations for procuring data and information needed for management decision-making. There does not exist any formal mechanism which ensures regularized reporting, or communication of coordination of programs at the state level, or that requires an access to all pertinent data for priority setting. Therefore, this theory and the pattern of decentralization that it generally entails, lacks a degree of overall "muscle" deemed necessary for effective administration.

The share of state or federal funds in local and regional budgets, in itself, is not an indicator of the degree of control over programs, although it plays a crucial part in determining the relationship between state and regional agencies. The extent of control is also determined through the political process. The political system and the public philosophy also influence the type of decentralization instituted by any agency or program.

Evaluation of the Effectiveness of Four Models of Decentralization

The four models of decentralization, namely, bureaucratic, governmental, supervisory, and advisory seek to achieve the purposes of improving services, increasing governmental responsiveness and alleviating subjective feelings of political alienation in different manners and in differing degrees of success.

With respect to improved services, the bureaucratic model at most increases the convenience with which services are provided and the supervisory model may at most allow governing boards to have some influence on bureaucratic planning of new facilities and alterations of existing services. Both models thus have little utility with respect to this purpose. The advisory model, however, is moderately useful for it features the convenient provision of direct services, non-civil service dispensation of services and complaint referral facilities to speed up and increase the quantity and quality of services. At the same time, the advisory model of decentralization might be faced with inefficient and poorly organized bureaucratic structures (at least in the short run) and the state government would not necessarily provide them with additional revenues to

provide more efficient services. The governmental model on the other hand, would markedly improve services in the sense that the citizens would be treated as clients to be served rather than as subjects whose concern and sensibilities are of secondary importance at best. Thus the governmental model seems to be better equipped than the other three models which have little or moderate utility in the achievement of this objective.

Decentralization is also intended to enhance governmental responsiveness to citizen concerns, needs and interests. Responsiveness may be increased on an overall quantitative basis, qualitatively in accordance with the wishes of particular communities or both. Bureaucratic decentralization might effect changes in the manner in which citizens are treated. Officials might become more sensitive to their client's sensibilities and might begin to relate to them rather than only to deal with their problems. Increased physical proximity however does not insure responsiveness. Citizens continue to be treated in a formalistic, impersonal, insensitive and often arbitrary manner. For the bureaucratic reward system continues to be based upon departmental rather than client norms and expectations. Field administrators have greater responsibility, but if they are to move upward into the middle and higher departmental ranks, they must continue to conform to their centrally located superior's expectations. The bureaucratic model does nothing to alleviate the clash between the bureaucrat's and the resident's cultural norms and class values. As organizational research shows, an

employee who directly faces challenges from clients tends to become more concerned with the defensibility of his own behavior than with solving the problem. A common technique in such instances is to fall back upon formal rules to prove that he has only been doing his duty. This reliance on regulations and their enforcement invariable results in a rigidity of behavior that serves only to aggravate the problem of working out satisfactory relationships with the constituents.[3] Acceptance of citizen viewpoints and concerns is thus most unlikely under bureaucratic model of decentralization.

The supervisory model enhances governmental responsiveness to some extent, in so far as the citizens are accorded greater and regularized access to elected officials and the views expressed by their representatives are presumably given more attention. The advisory model ranks even higher in this respect because of people's greater access and opportunity for participation and possibly greater commitment of governing boards to people. The impact of the governmental model on governmental responsiveness depends largely on the regional communities themselves - whether they are 'consensual' types

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[3]Schmandt, Henry J., "Decentralization: A Structural Imperative:, op. cit., pp. 8-10, 20, 21. Also Katz, Daniel and Kahn, Robert L., The Social Psychology of Organizations., (New York: Wiley, 1966), pp. 71-109.

or not. Responsiveness could reach a high level; it could also plummet to a level lower than the one that already exists.

The achievement of the third objective - that of reducing the level of political alienation and generating a positive political commitment is primarily dependent on the successful realization of the first two goals. Political alienation has two separable dimensions: distrust of government and sense of political powerlessness.[4] The participation or responsiveness implies that decentralization, by increasing local participation reduces both distrust and sense of powerlessness. The literature on political participation and organization membership suggest that this view is only partially substantiated. Trust/distrust is not related to participation; efficacy/powerlessness is. The two dimensions of political alienation are independent of each other.[5] Therefore, decentralization may have a potential role in decreasing the citizen's sense of powerlessness but has little or no promise of reducing distrust through increased participation.

The bureaucratic model therefore, has no direct impact on reducing citizen alienation through participation.

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[4]Finifter, Ada W., "Dimensions of Political Alienation", American Political Science Review, 64, (June, 1970), pp. 389-410.

[5]Paige, Jeffery M., "Political Oreintation and Riot-Participation", American Sociological Review, 36, (October, 1971), 810-820; and Aberbach, Joel, "Alienation and Political Behavior", American Political Science Review, 63, (March 1969), 86-91.

Undeniably, the downward delegation of responsibility makes for greater efficiency in the delivery of services, and the clients of multi-service centers enjoy a significantly greater measure of convenience, but there is no evidence to indicate that it affects the citizen's sense of efficacy in a positive manner, since bureaucratic decentralization does not ensure that a large number of citizens would be aware of new services. Even for those citizens who are aware of new services, the awareness is not necessarily related to trust of government because of the impersonal and formalistic attitude of the bureaucrats.

The supervisory model might have a slight impact on governmental disaffection, since the setting up of elected governing boards may convince a number of alienated citizens, at least among the strata of community leaders and activists, of the government's concern for their interests. And in so far as it positively affects services and responsiveness, it may alleviate some alienation. The same can be said of the governmental model. But in addition, the new commitment and responsiveness symbolized by setting up of locally elected or appointed boards, their provision of direct services, as well as their moderate impact upon both services and governmental responsiveness, gives them a moderate rating on the alienation dimension. The advisory model has the greatest potential impact on citizen attitudes since it entails a radical change in governmental structure and the delegation of important powers to units which are much closer to the citizens.

Although, a high rating is warranted here, there is always the possiblity that "tyrannical local majorities" can neutralize the effects of these changes and bring about a different (and perhaps more intense) type of citizen alienation. Besides, as pointed out earlier, this model places too much emphasis on regional variations, consequently making common statewide goals difficult to achieve.

An overall assessment of the four models' potential fulfillment of the decentralizer's three purposes finds the bureaucratic model at the bottom. Next comes the supervisory model, followed by governmental and advisory models, which receive equally high overall ratings. The latter's high rating however, is based on a question mark, many uncertainties and especially rough estimates; community control, without overall common direction, may produce several highly undesirable consequences, which must be taken into account even though they do not directly relate to the three decentralization goals. Three additional considerations speak against the model's overall appropriateness and likely operational effectiveness: namely the need for greater power at the state level rather than its delegation and thus weakening; the apparently more liberal, tolerant and progressive qualities of decisions made by governments with larger constituencies, and the lively absence of widespread support for the community control which is necessary for its operational effectiveness.

Taking all these considerations into account, it would seem that the fully developed governmental model is potentially the most effective form of decentralization, despite the advisory model's equally high ratings on the three dimensions of decentralizing goals. Therefore a governmental model of regional decentralization is recommended, at least unless changes in the political and social climate heighten the advisory model's attractiveness.

Conclusions and Recommendations

American sub-state regionalism represents an indigenous attempt to adapt public institutions to deal with the problems accompanying population growth and technological change, without running too hard against certain political-cultural rigidities that seemingly cannot be overcome short of major survival-related crisis. It reflects the unique nature of the American federal system, with its own political access channels and methods to demand articulation and realization. It is evolutionary like the system of which it is a part. On the one hand, the Federal government sponsors a comprehensive approach to regional planning and grant coordination and, on the other, it supports function by function areawide planning and project development.

The pattern of substate decentralization adopted by various functional agencies of the State is typical of the host of categorical grants-in-aid programs that have generated in recent years increasing objections to the resulting "vertical functional autocracies" that, whatever else their merit may be, weaken the capability of governments within a comprehensive planning and implementive framework. The regional decentralization activities of the state agencies of Nebraska suggest that no clear substate regionalism policy has systematically been developed yet. Each functional department has instituted and pursued its own areawide strategy depending upon its philosophy and ecology. Amidst the multitude of areawide functional planning activities, regional confederalism has also continued to flourish. The trend toward procedural comprehensiveness in the context of separate functional planning process, often performed by distinct organizations has led to programs operating at cross purposes rather than being well-coordinated. The competition between the Council of Governments (COG) and the areawide functional planning body has strained regional confederalism since it involves fundamental questions of generalist-specialist relations, centralization and decentralization of functions, equity and balanced growth. Councils of Governments are producing more and more comprehensive and functional plans, yet still lack the power to implement them directly or to compel or coerce constituent general purpose jurisdictions or special districts to carry out or abide by them.

Professor Henry J. Schmandt has succinctly stated the present dilema, "COG's are kept busy, on the one hand, trying to demonstrate to federal and state authorities that they are worthwhile investments and, on the other, reasurring local units that they constitute no threat to them."[6] The rather fragile structure of COG's is being strained by the conflicting objectives and strategies of higher and lower authorities.

Federalism requires balance - a balance in decision-making power, balance in fiscal resources and balance in program responsibilities. The simple fact is that the state now lacks that essential element, and only through its restoration can federalism be saved.

The remedy would not be painless. Responsiveness and balance necessitates major changes in governmental institutions and a shift in attitude accompanied by greater trust in government as a whole. The changes needed are not unidirectional. The regional decentralization pattern of state agencies represent an unintegrated functional system. An integrated decentralization system at the regional level speaks to many of the specific weaknessess encountered in fragmented and unintegrated system.

The capabilities of the COG's should be strengthened to undertake greater responsibilities in coordinating and monitoring areawide activities. They should be designated as an official

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[6]Schmandt, Henry J., "Intergovernmental Volunteerism" in The Regionalist Papers, (Detroit, The Metropolitan Fund, V), p. 8 mimeographed.

body for Federal and State areawide planning instead of single purpose districts. OMB Circular A-95, an effective tool for coordination of federal programs, assumes and encourages a strong areawide comprehensive planning process. The assignment of the A-95 responsibility as a tool to a COG will bring into existence a single indentifiable set of individuals responsible and accountable for areawide program coordination. The responsibility for performing certain operational programs should remain with the individual local governments or the field operations of the state agencies until the COG's are capable to handle them. Federal and state dollars currently supporting staff for these functions on an independent basis may be pooled to create a single areawide staff capability. State law should enpower COG's to review all applications for grants of public funds which are administered either directly or indirectly by state agencies. The field operations of the state agencies can help the agency director keep an ear to the ground to detect the public's service needs and preferences and its general opinions regarding the performance of the services.

The Councils of Governments can be used effectively by both legislators and the Governor as advisors in statewide policy development. If the Federal government continues to strive toward areawide adequacy and increased reliance on the state and local governments for the delivery of major programs

of Federal assistance, the Councils of Governments appear to have the potential to become effective coordinative instruments. On the other hand, if these systems are left unattended at their present stage of development their full potential is not likely to be realized.

The success of the COG depends significantly on its ability to play a boundary role that is fraught with potential contradictions, strains and conflicts. It could be the state government's arm in the regions and the representative of the regional community at the statehouse. It has to retain the confidence of both. This would accomplish several interrelated objectives. It would contribute to the improvement of public services by providing an effective channel for regions to communicate their needs and problems to the appropriate public officials and by increasing the ability of regional entity to respond in a coordinated and timely fashion. It would serve the eyes and ears of the state executive and legislature and furnish an informal forum for complaints and grievance. It would make information about government programs and services availabe to citizens, enabling them to make more effective use of such programs and services and making clear the limitation on the availability of all such programs and services. It would expand opportunities for meaningful community access to and involvement in the planning of policy affecting the region. Most important, it affords a significant opportunity to accomplish the democratic goal of making government closer and more accountable to citizens.

Decentralization is a means to the achievement of a number of end values, it should not be transformed into a value in its own right. The integrated model would provide for decentralization of those activities which can be most effectively administered at the lower level. Coordination of all field operations whether centralized or decentralized (in its broad sense) at the regional level, can reduce the extent of duplication of regional planning and information gathering activities. Not to be overlooked is the fact that without some such requirement, state agencies will continue to feel free to ignore one of the chief reasons for the state launching a sub-state districting system: to bring some order out of administrative chaos that exists in sub-state regions at the present time. If the State is committed to this goal, then a mandate to its agencies is essential.

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APPENDIX A

OFFICE
OF
PLANNING
AND
PROGRAMMING

STATE OF NEBRASKA

BOX 94601 · STATE CAPITOL · LINCOLN, NEBRASKA · 68509 · (402) 471-2414

Governor J. James Exon
State Planning Officer

W. Don Nelson
Director

MEMORANDUM

TO: All Agency Heads

FROM: W. Don Nelson,
Director

DATE: January 23, 1974

SUBJECT: State Regional Cooperation Study in Nebraska

The State Office of Planning and Programming is undertaking an update of an inventory of the field operations of various state agencies. This project entitled "State-Regional Cooperation in Nebraska" focuses on the measures of accountability of regional entities to the state agency. A questionnaire is being prepared to get an insight into the problem, its trend, and direction.

Attached to this letter is a set of survey questionnaires which are to be filled in by the agency heads and the program directors of those programs (or sub-programs) in agencies that utilize or plan to utilize some sort of sub-state regional delineation scheme. In this study, a region does not only mean a multi-county locally staffed sub-state entity, but also means the field operations of the state personnel for purposes of liaison, supervision, service delivery or administration in the State on a geographic basis.

Since the terms used within government agencies do not always carry the same meanings, a set of definitions is attached for ready reference. If any clarification is needed please contact Mrs. Prem Lata Bansal in my office.

An early response is requested. Thank you very much for your cooperation.

WDN:PLB:lne

GLOSSARY OF DEFINITIONS

1. Region - A region is a geographic unit having designated multi-county jurisdiction within the state. It is a tool used by existing governments to perform one or many functions for increasing governmental efficiency and effectiveness. A region may be staffed either by state personnel or local personnel. The physical boundaries of the state may be divided into one or more sets of geographic divisions for the accomplishment of several functions of the agency.

2. Declarative Act of Legislature - It is a piece of legislation that determines the number and boundaries of regions in the state for a given agency or program.

3. Enabling Act of Legislature - Legislation which requires the formation of regions for an agency or program but the boundaries are determined on the basis of a procedure to be followed by those seeking to organize a region.

4. Program - A program is a component of the ultimate goal of an agency. It does not consist all parts of the goal but involves those parts whose carrying out is essential for the achievement of ultimate objective.

5. Type of Regional Delineation Scheme - A type of regional delineation scheme is one in which a group of regions is identified as a class performing either similar functions of having similar staffing patterns.

6. Function - A function is a plan of action which comprises several activities connected or combined to accomplish a single objective. It is a component of a program in the sense that program accomplishment depends to a great extent on the performance of one or more functions.

7. Service - Service is an activity offered or performed usually by a trained person(s) which provides another person or organization(s) with those resources that are necessary to accomplish a task or satisfy a need.

8. Direct Service to People - It means help provided to private citizens in matters that affect their lives directly like health, education, welfare, justice, correctional program and leisure. It does not include simply referring people to appropriate organizations for help or service. Referral is considered to be advisory in nature.

9. Service to Participating Units - Practically all kinds of assistance rendered to local governmental units whether it be help in the understanding of their problems, solutions, technical assistance or advice.

10. Regional and Client Data - It is a sum of factual information necessary for decision making and management purposes. It may consist of information about the physical aspects of the region, its activities, accomplishments and problems, or the number and type of people served, depending on the functions of the regions.

QUESTIONNAIRE

STATE-REGIONAL COOPERATION IN NEBRASKA

Agency Name:

Agency Director:

Program Title:

Program Number:

Program Director:

1. Total number of regions which the agency/program utilizes (Please provide a map of the regions) _____.

2. How are the regional boundaries determined (Statutory basis of the regions)?

   ☐ Legislation

   ⊗ Federal_____
   ⊗ State_____ (citation please)

   ○ Declarative Act of Legislature (Mandatory)
   ○ Enabling Act of Legislature (Permissive)

   ☐ Administrative Action: Regions not required by law but formed for sake of efficiency and effectiveness.

   ☐ Other

3. Is the regional delineation scheme of your agency/program acceptable to counties in the various regions?

   ☐ Yes ☐ No

   If no, can you tell why?

4. Does the agency/program utilize more than one type of regional delineation scheme where one type of regions (or districts) are staffed differently or have distinct primary functions than the other?

   ☐ Yes ☐ No

   a. If yes
      (i) Number of regional offices that are staffed by state agency personnel _____.
      (ii) Number of regional offices that are staffed by local government personnel _____.

b. If no to question #4, how are the regions staffed?

- ☐ State Personnel
- ☐ Local personnel
- ☐ Both
- ☐ Other (please specify)

Questions 5 through 9 should be filled in by those agencies/programs whose regions (some or all) are staffed by state personnel.

5. What is the nature of state personnel staffing in the regions?

- ☐ State agency personnel stationed in the region on a permanent basis
- ☐ State personnel visit assigned areas as and when considered desirable
- ☐ State personnel visit assigned regions at regular intervals
- ☐ Other

6. What is the functional use of these regions?

- ☐ Planning ☐ Administration ☐ Service Delivery
- ☐ Other

7. What is the nature of duties performed by state agency personnel in the regions?

- ☐ Service Delivery
  - ⬡ Direct to people
  - ⬡ To local participating units
- ☐ Advisory
- ☐ Supervision and Review
- ☐ Maintain liaison between local and state units
- ☐ Technical assistance to participating units
- ☐ Other

8. What is the nature of state personnel control over regional staff?

- ☐ Regional staff is under state personnel system
- ☐ Regional staff is under state merit system
- ☐ Regional staff is under specified rules and regulations of the agency
- ☐ Regional staff is approved by state agency
- ☐ Other

9. How are the state funds budged for the regions?

- ☐ Legislative appropriations
- ☐ Agency Appropriations
- ☐ Other

Questions 10 through 19 are to be filled in by those programs and agencies whose regions (some or all) are staffed by local personnel.

10. How are the regional bodies formed?

- ☐ Under inter-local cooperation act
- ☐ Private non-profit corporations
- ☐ Both
- ☐ Other (please specify)

11. Do these regional bodies come under state personnel control?

☐ Yes ☐ No

If yes, how?

12. Do the regional bodies function as

- ☐ General purpose organizations like counties and municipalities.
- ☐ Special purpose units for specified functions like school districts and Natural Resources Districts
- ☐ Other

13. What is the primary function of these regions?

- ☐ Planning
- ☐ Administration
- ☐ Service delivery
  - ⬡ To people
  - ⬡ To local units
- ☐ Other

14. Do the regions have an area-wide governing board?

☐ Yes ☐ No

If yes, continue, otherwise go to question #18.

15. What is the composition of the governing board?

- ☐ Elected officials
  - ⬡ County officials
  - ⬡ City officials
  - ⬡ Other (specify)
- ☐ Private citizens
- ☐ Other

16. Is the comosition of the governing board about the same in all regions of agency/program?

☐ Yes ☐ No

If no, please point out the major differences.

17. Approximately what percentage of the board members are popularly elected? _____%.

18. Are there any legal requirements for staffing the regions?

☐ Yes ☐ No

If yes, please specify.

19. Do the regions come under the state budgetary control?

☐ Yes ☐ No

Please explain.

20. How are the funds budgeted for regions in the state agency budget?

21. Is related program carried out by any other agency or unit in the area?

☐ Yes ☐ No ☐ Do not know

22. If yes, how is the coordination achieved?

☐ Overlapping Board membership
☐ Common Advisory Boards
☐ Maintaining central data file
☐ Other

23. What are the sources of funding for the regions? Please give approximate percent figures.

☐ Federal _____%
☐ State _____%
☐ Local _____%

- ⬡ Local Taxes
  - ○ mill levy
  - ○ Contribution by counties on year to year basis
  - ○ Fixed contribution by counties
- ⬡ Fees
- ⬡ Contributions

24. Do the regional entities have power to levy taxes?

☐ Yes ☐ No

25. If yes, is there a limit set by state legislature on their authority?

26. In case the regional body is unable to carry out the program, is the contract with a private or public entity entered into by

☐ Regional organization
☐ State Agency
☐ Other

27. Is the program formulation and priority setting done at the

☐ Regional level
☐ State level
☐ Other

28. If the program is being carried out by a departmental unit or section of the regional organization, does such a unit receive state aid

☐ Directly from the state agency
☐ Through regional organization responsible for such units
☐ Other (please specify)

29. How does the state-agency insure that the program is being carried out as required by law and spelled out in agency policies?

☐ Periodic written reports
☐ Program approval by state agency
☐ Periodic investigation
☐ Budget approval
☐ Regular supervision
☐ Post-Audit
☐ Other

30. Is there any arrangement through which the regional or client data is reported to the state agency?

☐ Yes ☐ No

If yes, through what procedure?

31. How often does the regional body provide information of its activities and accomplishments to the state agency?

32. What is the frequency and nature of communication between the state agency and the regional bodies?

33. Is the flow of communication between state and regions automatic and free from external pressures?

☐ Yes ☐ No

If no, how is the communication maintained?

34. Does your agency/program have instant access to regional or client data for management decision-making?

☐ Yes ☐ No

If no, how is the data procured for decision-making?

35. What should be the state agency's oversight responsibilities over the regional bodies for this program?

36. How would you rate the quality of the state-regional cooperative activity? (From a state agency point of view)

☐ Superior-subordinate
☐ Regulatory and supervisory
☐ Other
☐ Equal partnership
☐ Advisory

37. Do you think that some kind of permissive legislation or agency regulation can promote the better coordination of agency/program activities in the state?

☐ Yes ☐ No

If Yes, please be specific.

38. Do you have any suggestions for improvement in regional accountability to state agency?

39. Do you have any suggestions for improvement in regional data reporting system?

40. Is there any other thing which you would like to mention in order to ease state-regional cooperation for delivery of services?

APPENDIX B

State Agencies Directly Contacted:

1. Department of Agriculture
2. Supreme Court - County Court System
3. Equal Opportunity Commission
4. Game and Parks Commission
5. Department of Health
6. Department of Public Institutions
7. Department of Labor
8. Nebraska Public Library Commission
9. Natural Resources Commission
10. Nebraska Commission on Law Enforcement and Criminal Justice
11. Department of Public Welfare
12. Department of Roads
13. Department of Education
14. University of Nebraska
15. Military Department